EXHIBIT D

Part 8

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			Claim Number							
		Date Received								
		BERNARD L. MADOFF INVESTMENT SECURIT	TIES LLC							
		In Liquidation								
War-		DECEMBER 11, 2008								
(Please	print	or type)								
Name of Mailing	Cust Addr	omer: Kimberly L. Levinson, Kimberly L. Levinsons: 715 S. East Ave.	on Roth IRA							
City:	Baltin	nore State: Maryland	Zip: <u>21224</u>							
Taxpaye	r I.D	1-W0106-3-0 (Westport National Bank) Number (Social Security No.):								
THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.										
1.	Clai	m for money balances as of December 11, 2008 :								
	a.	The Broker owes me a Credit (Cr.) Balance of	\$							
	b.	I owe the Broker a Debit (Dr.) Balance of	\$							
	C.	If you wish to repay the Debit Balance,								
		please insert the amount you wish to repay and								
		attach a check payable to "Irving H. Picard, Esq.,								
		Trustee for Bernard L. Madoff Investment Securit	ies LLC."							

If you wish to make a payment, it must be enclosed

with this claim form.

If balance is zero, insert "None."

d.

Claim for securities as of December 11, 2008:

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

			YES	NO
	a.	The Broker owes me securities valued at \$60,679.51 as of November 30,	X 2008	
	b.	I owe the Broker securities		
	C.	If yes to either, please list below:		
		The state of the s		of Shares or ount of Bonds
Date of Transaction (trade date		Name of Security	The Broke Owes Me (Long)	
Plea	se se	ee the attached supporting documentation a	and ac <u>compan</u> yir	g l <u>etter</u>
				i ———
		David Company of the		

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

08-01789-cgm Doc 4111-21 Filed 05/27/11 Entered 05/27/11 17:31:44 Exhibit D Part 8 Pg 4 of 21

		<u>YES</u>	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		x
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	· · · · · · · · · · · · · · · · · · ·	X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.	nary so	X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		X
	Please list the full name and address of anyone ass preparation of this claim form: Deborah Clark-Weint Kallas, LLC, 1540 Broadway, 37th Floor, New Yorl	raub, Whatley D	rake &

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date _2116109	Signature 45 miles
Date	Signature
The second secon	

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

CI	JST	1	N A	Ö.	A 1			
\mathbf{c}	JOI	U	IVI	T I	اما	L. A.	JIVI	

Claim Number	
Date Received	

BERNARD L. MADOFF INVESTMENT SECURITIES LLC

		In Liquidation	
Please	print :	DECEMBER 11, 2008 or type)	
Name o Mailing City: Accoun	f Cust Addr Easto t No.:	omer: Stephen R. Levinson, Stephen R. Levinson	
NOTE:	THI SHI PRI REI SUI LES	FORE COMPLETING THIS CLAIM FORM, BE SURE TE ACCOMPANYING INSTRUCTION SHEET. A SEPTION OF FILED FOR EACH ACCOUNT AND, TO OTECTION AFFORDED UNDER SIPA, ALL CUSTOME CEIVED BY THE TRUSTEE ON OR BEFORE MARKED AFTER THAT DATE, BUT ON OR BEFORE JUBIC TO DELAYED PROCESSING AND TO BEING SES FAVORABLE TO THE CLAIMANT. PLEASE SEND YER RETURN RECEIPT REQUESTED.	ARATE CLAIM FORM RECEIVE THE FULL ER CLAIMS MUST BE the 4, 2009. CLAIMS July 2, 2009, WILL BE SATISFIED ON TERMS OUR CLAIM FORM BY
1.	Clai	m for money balances as of December 11, 2008:	
	a.	The Broker owes me a Credit (Cr.) Balance of	\$
	b.	I owe the Broker a Debit (Dr.) Balance of	\$
	Ĉ.	If you wish to repay the Debit Balance,	
		please insert the amount you wish to repay and	
		attach a check payable to "Irving H. Picard, Esq.,	
		Trustee for Bernard L. Madoff Investment Securitie	
		If you wish to make a payment, it must be enclose	
	ما	with this claim form.	\$
	d.	If balance is zero, insert "None."	

Claim for securities as of December 11, 2008;

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

			<u>Y</u>	ES	NO
a	i.	The Broker owes me securities valued at \$29,216.06 as of November 30,		<u> </u>	
b	Ĭa	I owe the Broker securities			
C.	le:	If yes to either, please list below:			
				Number of Face Amou	of Shares or unt of Bonds
Date of Transaction (trade date		Name of Security		The Broker Owes Me (Long)	I Owe the Broker (Short)
Pleas	<u>e</u> se	ee the attached supporting documentation a	and ac	companying	letter
	_<				
		N-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1			N
	-				

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

		<u>YES</u>	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		<u> </u>
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	ř	X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		X
	Please list the full name and address of anyone ass preparation of this claim form: Deborah Clark-Weins Kallas, LLC, 1540 Broadway, 37th Floor, New Yor	traub, Whatley D	

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date 2/16/09	Signature Toplan Hoveman
Date	Signature

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, *e.g.*, corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

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UΙ	J	0	11	U	IV	1	ᆮ	ĸ		L^{μ}	IM	

OOD TOWER CEARN	Claim Number
	Date Received
BERNARD L. MADOFF INVESTMENT SECU	RITIES LLC
In Liquidation	
DECEMBER 11, 2008 or type)	
omer: Stephen R. Levinson, Stephen R. Levess: 48 Dogwood Drive	inson Rolfover IRA
State: Connecticut 1-W0106-3-0 (Westport National Bank) Number (Social Security No.):	Zíp: <u>06612</u>
FORE COMPLETING THIS CLAIM FORM, BE SUE ACCOMPANYING INSTRUCTION SHEET. A DULD BE FILED FOR EACH ACCOUNT AND, DIECTION AFFORDED UNDER SIPA, ALL CUSTEIVED BY THE TRUSTEE ON OR BEFORE SEIVED AFTER THAT DATE, BUT ON OR BEFORE SECT TO DELAYED PROCESSING AND TO BEITS SEAVORABLE TO THE CLAIMANT, PLEASE SE	SEPARATE CLAIM FORM TO RECEIVE THE FULL TOMER CLAIMS MUST BE March 4, 2009. CLAIMS PRE July 2, 2009, WILL BE ING SATISFIED ON TERMS

In Liquidation	
DECEMBER 11, 2008	
(Please print or type)	
Name of Customer: Stephen R. Levinson, Stephen R. L. Mailing Address: 48 Dogwood Drive	evinson Rollover IRA
City: Easton State: Connecticu	ıt Zip: <u>06612</u>
Account No.: 1-W0106-3-0 (Westport National Bank) Taxpayer I.D. Number (Social Security No.):	
Taxpayer 1.D. Number (Social Security No.):	
NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE THE ACCOMPANYING INSTRUCTION SHEET. SHOULD BE FILED FOR EACH ACCOUNT AN PROTECTION AFFORDED UNDER SIPA, ALL CI RECEIVED BY THE TRUSTEE ON OR BEFOR RECEIVED AFTER THAT DATE, BUT ON OR BE SUBJECT TO DELAYED PROCESSING AND TO BE LESS FAVORABLE TO THE CLAIMANT. PLEASE CERTIFIED MAIL - RETURN RECEIPT REQUESTS	A SEPARATE CLAIM FORM ND, TO RECEIVE THE FULL USTOMER CLAIMS MUST BE RE March 4, 2009. CLAIMS FORE July 2, 2009, WILL BE BEING SATISFIED ON TERMS SEND YOUR CLAIM FORM BY ED.
1. Claim for money balances as of December 11, 2	2008:
a. The Broker owes me a Credit (Cr.) Balance	e of \$
b. I owe the Broker a Debit (Dr.) Balance of	\$
c. If you wish to repay the Debit Balance,)
please insert the amount you wish to repay	and
attach a check payable to "Irving H. Picard,	Esq.,
Trustee for Bernard L. Madoff Investment S	Securities LLC."
If you wish to make a payment, it must be	enclosed
with this claim form.	\$
d. If balance is zero, insert "None."	

Claim for securities as of December 11, 2008:

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

					YE	<u>s</u>		<u> </u>
а		Broker owes med at \$2,189,26		vember	X 30, 200			
b		the Broker se		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,				
С	. If yes	s to either, plea	se list below:					
						Number Face Amo		
Date of Transaction (trade date		Name	e of Security			The Broke Owes Me (Long)	tt	Owe ne Broker (Short)
Pleas	e see the	attached supp	orting docum	<u>entation</u>	and acg	companyin	ig l <u>et</u>	er
	<u> </u>				-		_	
	-							
<u></u>	_		- Hirsenian		_			

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

		<u>YES</u>	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		X
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?	, p. managarina	X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)		X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.	* 2 · 2	X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.	<u>- 10000000</u>	X
	Please list the full name and address of anyone ass preparation of this claim form: Deborah Clark-Wein Kallas, LLC, 1540 Broadway, 37th Floor, New Yor	traub, Whatley D	rake &

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date 2/16/2009	Signature Stephen & Levenson
Date	Signature

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

\sim 1	CT	OB.	ar-n	α		
UL	101	UN	1ER	-C-L	A	IIVI

Trustee for Bernard L. Madoff Investment Securities LLC."

If you wish to make a payment, it must be enclosed

with this claim form.

If balance is zero, insert "None."

d.

Claim for securities as of December 11, 2008:

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

					YES	NO
a.		roker owes m d at \$15,002.	e securities 34 as of Novem	ber 30, 2008	<u>x</u>	·
b.	I owe	the Broker se	curities		<u> </u>	
C.	If yes	to either, plea	se list below:			
					Number o Face Amou	of Shares or ant of Bonds
Date of Transaction (trade date)		Nam	e of Security		The Broker Owes Me (Long)	I Owe the Broker (Short)
			orting docume	<u>ntation</u> and a		
	-		-			
	-					
	_					- 44

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

PLEASE CHECK THE APPROPRIATE ANSWER FOR ITEMS 3 THROUGH 9.

		YES	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		X
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)		X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		X
	Please list the full name and address of anyone ass preparation of this claim form: Deborah Clark-Wein Kallas, LLC, 1540 Broadway, 37th Floor, New Yor	traub, Whatley D	

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date 2/16/2009	Signature Stephen N Levenson
Date	Signature

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

ALIO:	TOR		~		
CUS"	! UIV	IFK.	Lat	AIR	n

Claim Number____

		D	ate Received	
		BERNARD L. MADOFF INVESTMENT SECURITIE	S LLC	
		In Liquidation		
	3	DECEMBER 11, 2008		
(Please 1	orint c	or type)		
Mailing City: Account	Addre Wilt	omer: Neil A. Gordon, Neil A. Gordon M.D. PC Profit Sess: 539 Danbury Road on State: Connecticut Zi 1-W0106-3-0 (Westport National Bank) Number (Social Security No.):	Sharing Plan p: 06897	
NOTE:	THE SHO PRO REC SUE LES	FORE COMPLETING THIS CLAIM FORM, BE SURE TO A SCENAR ACCOMPANYING INSTRUCTION SHEET. A SEPANULD BE FILED FOR EACH ACCOUNT AND, TO DIECTION AFFORDED UNDER SIPA, ALL CUSTOME CEIVED BY THE TRUSTEE ON OR BEFORE Marc CEIVED AFTER THAT DATE, BUT ON OR BEFORE JUSTECT TO DELAYED PROCESSING AND TO BEING SES FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR TIFIED MAIL - RETURN RECEIPT REQUESTED.	RATE CLAIM FORM RECEIVE THE FULL FR CLAIMS MUST BE h 4, 2009. CLAIMS uly 2, 2009, WILL BE ATISFIED ON TERMS	
******	*****	*********************	**	
1.	Clair	m for money balances as of December 11, 2008 :		
	a.	The Broker owes me a Credit (Cr.) Balance of	\$	
	b.	I owe the Broker a Debit (Dr.) Balance of	\$	
	C.	If you wish to repay the Debit Balance,		
please insert the amount you wish to repay and				
		attach a check payable to "Irving H. Picard, Esq.,		
		Trustee for Bernard L. Madoff Investment Securities	LLC."	
		If you wish to make a payment, it must be enclose	d	
		with this claim form.	\$	
	d.	If balance is zero, insert "None."		

Claim for securities as of December 11, 2008;

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

		-	YES	NO
á		The Broker owes me securities valued at \$641,599.27 as of November 30.	X	
t		owe the Broker securities		
C	c. I	If yes to either, please list below:		
				of Shares or unt of Bonds
Date of Transaction			The Broker Owes Me	
(trade date	e)	Name of Security	(Long)	(Short)
Pleas	se se	e the attached supporting documentation a	nd ac <u>compan</u> yin	g l <u>etter</u>
				
<u> </u>			-	 -
				

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

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		<u>YES</u>	NO		
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X		
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?	<u></u> ,	X		
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X		
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	·	X		
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X		
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		X		
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.	-	X		
	Please list the full name and address of anyone assisting you in the preparation of this claim form: Deborah Clark-Weintraub, Whatley Drake & Kallas, LLC, 1540 Broadway, 37th Floor, New York, New York, 10036				

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date	118/09	Signature / / / / / / / / / / / / / / / / / / /
Date		Signature

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

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